

EXPRESS MAIL LABEL NO.: # EL804518747US

DATE: December 21, 2001

JCO7 Rec'd PCT/PTO 21 DEC 2001

FORM PTO-1390 (REV. 11-2000)		U.S. DEPARTMENT OF COMMERCE, PATENT AND TRADEMARK OFFICE		ATTORNEY'S DOCKET NUMBER SONYJP-160
TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371				US APPLICATION NO. (If known, see 37 CFR 1.51) 107019332
INTERNATIONAL APPLICATION NO PCT/JP01/03584	INTERNATIONAL FILING DATES 25 April 2001		PRIORITY DATE CLAIMED 28 April 2000	
TITLE OF INVENTION OPTICAL COMMUNICATION METHOD AND APPARATUS				
APPLICANT(S) FOR DO/EO/US Kuninori Shinohara, Yoshinobu Kure, Kazuyoshi Horie, Youichi Toriumi, Yoshifumi Masuda, and Kazuhito Nagura				
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information				
<p>1 <input checked="" type="checkbox"/> This is a FIRST submission of items concerning a filing under 35 U.S.C. 371.</p> <p>2 <input type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a filing 35 U.S.C. 371</p> <p>3 <input checked="" type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371 (f)). The submission must include items (5), (6), (9) and (21) indicated below</p> <p>4. <input type="checkbox"/> The US has been elected by the expiration of 19 months from the priority date (PCT Article 31).</p> <p>5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371 (c)(2)) a <input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau) b <input checked="" type="checkbox"/> has been communicated by the International Bureau c <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US)</p> <p>6. <input checked="" type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371 (c)(2)). a <input checked="" type="checkbox"/> is attached hereto. b <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4)</p> <p>7. <input checked="" type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3)) a <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau) b <input type="checkbox"/> have been communicated by the International Bureau. c <input type="checkbox"/> have not been made, however, the time limit for making such amendments has NOT expired. d <input checked="" type="checkbox"/> have not been made and will not be made</p> <p>8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c)(3)).</p> <p>9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)). (Uncertified)</p> <p>10. <input type="checkbox"/> An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5))</p>				
Items 11 to 20 below concern document(s) or information included:				
<p>11. <input checked="" type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98, w/PTO-1449, 7 references</p> <p>12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.</p> <p>13. <input type="checkbox"/> A FIRST preliminary amendment</p> <p>14. <input type="checkbox"/> A SECOND or SUBSEQUENT preliminary amendment.</p> <p>15. <input type="checkbox"/> A substitute specification</p> <p>16. <input type="checkbox"/> A change of power of attorney and/or address letter</p> <p>17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.</p> <p>18. <input type="checkbox"/> A second copy of the published international application under 35 U.S.C. 154(d)(4)</p> <p>19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).</p> <p>20. <input checked="" type="checkbox"/> Other items or information: TwelvC (12) Sheets of Formal Drawings, Copy of PCT Easy Request (in Japanese), Copy of Face page of Internal Application as published (in Japanese)</p>				

100-1533P 062103
531 Rec'd PCT/ 21 DEC 2001

U.S. APPLICATION NO. (If known, see 37 CFR 1.65)		INTERNATIONAL APPLICATION NO [*]	ATTORNEY'S DOCKET NUMBER																																																																																											
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<p>17. <input checked="" type="checkbox"/> The following fees are submitted:</p> <p>BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5):</p> <table> <tr> <td><input type="checkbox"/></td> <td>Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO</td> <td>\$1040.00</td> </tr> <tr> <td><input checked="" type="checkbox"/></td> <td>International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO</td> <td>\$890.00</td> </tr> <tr> <td><input type="checkbox"/></td> <td>International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO</td> <td>\$740.00</td> </tr> <tr> <td><input type="checkbox"/></td> <td>International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4)</td> <td>\$710.00</td> </tr> <tr> <td><input type="checkbox"/></td> <td>International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4)</td> <td>\$100.00</td> </tr> </table> <p>ENTER APPROPRIATE BASIC FEE AMOUNT = Surcharge of <input type="checkbox"/> \$ _____ for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492 (e)).</p> <table> <thead> <tr> <th>CLAIMS</th> <th>NUMBER FILED</th> <th>NUMBER EXTRA</th> <th>RATE</th> </tr> </thead> <tbody> <tr> <td>Total claims</td> <td>8-20 =</td> <td>x</td> <td>\$ 0.00</td> </tr> <tr> <td>Independent claims</td> <td>4-3 =</td> <td>1</td> <td>\$ 84.00</td> </tr> <tr> <td colspan="4">MULTIPLE DEPENDENT CLAIM(s) (if applicable)</td> </tr> <tr> <td colspan="4" style="text-align: center;">TOTAL OF ABOVE CALCULATIONS =</td> </tr> <tr> <td colspan="4"><input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by $\frac{1}{2}$</td> </tr> <tr> <td colspan="4" style="text-align: right;">SUBTOTAL = \$ 974.00</td> </tr> <tr> <td colspan="4">Processing fee of <input type="checkbox"/> \$ _____ for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492 (f)) +</td> </tr> <tr> <td colspan="4" style="text-align: right;">TOTAL NATIONAL FEE = \$ 974.00</td> </tr> <tr> <td colspan="4">Fee for recording the enclosed assignment (37 CFR 1.21 (h)) Assignment must be accompanied by appropriate cover sheet (37 CFR 3.28, 3.31) <input type="checkbox"/> per property).</td> </tr> <tr> <td colspan="4" style="text-align: right;">TOTAL FEES ENCLOSED = \$ 974.00</td> </tr> <tr> <td colspan="4"> <table> <tr> <td><input type="checkbox"/> A check in the amount of \$ _____ to cover the above fees is enclosed.</td> <td>Amount to be Refunded: \$ _____</td> </tr> <tr> <td><input checked="" type="checkbox"/> Please charge my Deposit Account No <u>12-1095</u> in the amount of \$ <u>974.00</u> to cover the above fees. 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